

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
P00632-US1

In Re Application Of: **CHARNLEY, James A. Jr.**

MAY 17 2002

Serial No.  
10/079,022

Filing Date  
02/20/2002

Examiner

Group Art Unit  
2161

Title:

**METHOD FOR SELECTING INVESTMENTS IN BOOK-VALUED COLLECTIVE INVESTMENT FUNDS**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 02-0900 as described below. A duplicate copy of this sheet is enclosed.
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*Cynthia M. Branca*  
Signature of Person Mailing Correspondence

Cynthia M. Branca

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

*David R. Josephs*  
Signature

Dated: 5/13/2002

David R. Josephs, Esquire, #34,632  
BARLOW, JOSEPHS & HOLMES, LTD.  
101 Dyer Street, 5th Floor  
Providence, RI 02903

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# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

P00632

Application Number

10/079,022

Applicant(s)

CHARNLEY, James A. Jr.

Filing Date

02/20/2002

Group Art Unit

2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JR		5,109,475	04/28/1992	Kosaka et al.	395	22	
		5,761,442	06/02/1998	Barr et al.	395	236	
		5,774,881	06/30/1998	Friend et al.	705	36	
		5,884,287	03/16/1999	Edesess	705	36	
		5,978,778	11/02/1999	O'Shaughnessy	705	36	
		5,987,433	11/16/1999	Crapo	705	36	
		6,018,722	01/25/2000	Ray et al.	705	36	
		6,021,397	02/01/2000	Jones et al.	705	36	
		6,078,904	06/20/2000	Rebane	705	36	
		6,125,355	09/26/2000	Bekaert et al.	705	36	
JR		6,188,992	02/13/2001	French	705	35	

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

/James Rioux/

DATE CONSIDERED

02/27/2007

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.





GP 2161

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Applicati n Number	10/079,022	
	Filing Date	02/20/2002	
	First Named Inventor	CHARNLEY, James A.	
	Group Art Unit	2161	
	Examiner Name		
Total Number of Pages in This Submission	5	Attorney Docket Number	P00632-US1

ENCLOSURES (check all that apply)		
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Remarks		<b>RECEIVED</b> MAY 21 2002 Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	David R. Josephs, Esquire BARLOW, JOSEPHS & HOLMES, LTD.
Signature	
Date	5/13/2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 5-13-2002			
Typed or printed name	Cynthia M. Branca		
Signature		Date	5-13-2002

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